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A33902 (072119.0110) 11-08-01

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE AUG 06 2001

Technology Center 2100

Applicant : Ning et al.
Serial No. : 09/849,013 Examiner: To Be Assigned
Filed : May 4, 2001 Group Art Unit: 2161
For : CUSTOMIZED DERIVATIVE SECURITIES

INFORMATION DISCLOSURE STATEMENT

I hereby certify that this paper is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
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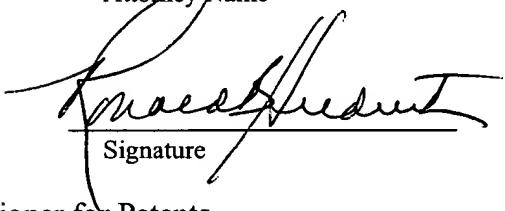
Date of Deposit

Ronald B. Hildreth

Attorney Name

19,498

PTO Registration No.


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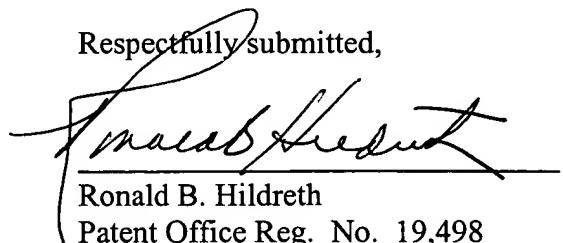
Date of Signature

Commissioner for Patents
Washington, D.C. 20231

Sir:

The Applicants respectfully request that the ten (10) documents, which are listed in the attached PTO-1449 form, be "made of record" in the above-identified patent application. Copies of these documents are enclosed.

Respectfully submitted,


Ronald B. Hildreth
Patent Office Reg. No. 19,498
Attorney for Applicants
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Enclosures

NY02:339346.1



Form PTO-1449 U.S. Department of Commerce (REV. 2-82) Patent and Trademark Office INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)								Atty. Docket No. (A33902) 072119.0110	Serial No. 09/849,013						
								RECEIVED AUG 06 2001 Technology Center 2100							
								Filing Date May 4, 2001	Group 2161						

U.S. PATENT DOCUMENTS

*Exam. Init.			Document No.							Date	Name	Class	Subclass	Filing Date if Appro.
			6	1	2	2	6	2	3	09/19/00	Garman	705	36	04/02/98
			6	1	1	9	1	0	3	09/12/00	Basch et al.	705	35	05/27/97
			6	0	7	8	9	0	4	06/20/00	Rebane	705	36	03/16/98
			6	0	5	5	5	1	7	04/25/00	Friend et al.	705	36	01/30/98
			6	0	2	1	3	9	7	02/01/00	Jones et al.	705	36	12/02/97
			6	0	1	8	7	2	2	01/25/00	Ray et al.	705	36	06/19/97
			6	0	0	3	0	1	8	12/14/99	Michaud et al.	705	36	
			5	9	1	8	2	1	7	06/29/99	Maggioncalda et al.	705	36	
			5	8	8	4	2	8	7	03/16/99	Edesess	705	36	
			5	8	1	2	9	8	7	09/22/98	Luskin et al.	705	36	

NY02:339352.1 Examiner

Date Considered



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FOREIGN PATENT DOCUMENTS

			Document No.	Date	Country	Class	Subclass	Translation Yes No

OTHER DOCUMENTS (including Author, Title, Date, Pertinent Pages, Etc.)

NY02:339352.1 Examiner

Date Considered

* Examiner: Initial citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.